

Records Management Compliance Checklist

Section 1: Determination of Records Implications

A Yes answer to any questions below indicates that the proposed application has records implications. Include this determination in the Application Project Plan.

1. Does the proposed application replace a paper-based system that currently generates records?
2. Is the proposed application an upgrade or extension of an existing system that has been determined to have records implications?
3. Does the proposed application create or manage any of the following types of information? Unclassified? Official Use Only? Privacy Act? Quality Assurance? Vital Records? Permanent Records?
4. Based on the above information and Attachment B, (Is It a Record?), will the proposed application contain or produce or declare information to be records?
5. Is the proposed application an Electronic Records Management System (ERMS) that identifies records and applies retention periods?

Section 2: If the proposed application has records implications as per Section 1, include the following information in the Application Project Plan.

6. If the proposed application contains records (Yes to question 4) and is not an ERMS (No to question 5), does the functionality include the transfer of the records to a separate ERMS that meets DoD 5015.2-STD, "Design Criteria for Electronic Records Management Software Applications?"
7. If the application is an ERMS (Yes to question 5), does the proposed application meet DoD 5015.2-STD, "Design Criteria for Electronic Records Management Software Applications?"
8. If the proposed application contains records (Yes to question 4), is not an ERMS (No to question 5), and does not include functionality to transfer the records to an ERMS (No to question 6) then does the work process include printing the records in hardcopy?
9. Describe how the software and metadata to support retrieval will be retained for the life of the information/record?